

Receipt

#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Takashi NOZAKI )  
Serial No.: 09/943,221 ) Group: 2162  
Filing Date: August 29, 2001 ) Examiner: not yet assigned  
(as amended) ) Our ref.: B-4293 619053-6  
For: "COMMODITY ORDER SYSTEM AND )  
COMMODITY ORDER METHOD IN..." ) Date: June 12, 2002

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Sir:

REQUEST FOR CORRECTED RECEIPTRE: FILING DATE

The subject application was submitted pursuant to the Express Mail Procedure of 37 CFR 1.10. The application was deposited with the United States Postal Service (USPS) in an Express Mail envelope with sufficient postage for Express Mailing on August 29, 2001 pursuant to 37 CFR 1.10, but the returned postcard and official filing receipt (copies enclosed) indicate that the United States Patent and Trademark Office (USPTO) considered the filing date to be August 30, 2001.

Enclosed is a copy of the new application transmittal letter from our files. The new application transmittal letter contains a Certification of Express Mailing Date under 37 CFR 1.10 and proper reference to Express Mail Label Number EL896634976US as required by Section 1.10. This information is also contained in the files of the United States Patent and Trademark Office.

Karyn Lao, the person mailing the papers pursuant to 37 CFR 1.10, has signed a verified statement that the new application was deposited with the USPS in an Express Mail envelope with sufficient postage for Express Mailing on August 29, 2001. The signed verified statement signed by Karyn Lao is attached.

Request for Corrected Filing Receipt  
U.S. Patent Appln. No. 09/943,221  
Page 2

Also enclosed is a copy of a letter from Phil Cascio, a manager of the USPS, indicating that August 29, 2001 is the correct "sign in" date. Attached to the letter are copies of the Express Mail Label Number EL896634976US returned from the USPS and PS Form 5541. It should be noted that the "sign in" clerk at the USPS inadvertently indicated the "date in" to be August 30, 2001, instead of August 29, 2001. However, it is apparent from the enclosed copy of the letter from USPS manager Phil Cascio and the enclosed PS Form 5541 that August 29, 2001 is the correct "sign in" date.

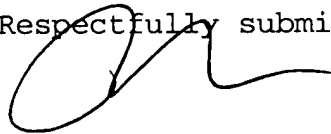
Applicant has complied with the requirements of 37 CFR 1.10 and is entitled to a filing date of August 29, 2001. Therefore, please update all of the records in the USPTO to indicate that the filing date of the above-identified application August 29, 2001; and please advise us in writing that the USPTO considers

**August 29, 2001**

to be the filing date of the above-identified U.S. application.

The Commissioner is authorized to charge any additional fees which may be required or credit overpayment to deposit account no. 12-0415.

Respectfully submitted



Richard P. Berg  
Reg. No. 28,145  
Attorney for Applicant  
LADAS & PARRY  
5670 Wilshire Boulevard, #2100  
Los Angeles, California 90036  
(323) 934-2300


Request for Corrected Filing Receipt  
U.S. Patent Appln. No. 09/943,221  
Page 3

Enclosures: copy of returned postcard  
copy of official filing receipt  
copy of new application transmittal letter  
Verified statement signed by Karyn Lao  
copy of the letter from the Express Mail clerk of  
the USPS with copy of Express Mail label and copy  
of Pickup Service Statement PS Form 5541 returned  
from the USPS

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with  
the United States Postal Service with sufficient postage as first-  
class mail in an envelope addressed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231, on  
June 12, 2002

By:   
Suzanne Johnston

**COPY OF PAPERS  
ORIGINALLY FILED**

---



To: USPD (kl)

FROM: **COMMISSIONER OF THE PATENTS**

THE PATENT AND TRADEMARK OFFICE

MAIL ROOM STAMP HEREON ACKNOWLEDGES

RECEIPT OF: New U.S. Patent Appln., consisting of

Transmittal letter with Certification under 37 CFR 1.10

(3 pages); Check no. 13736 in the amount of \$764.00;

31 pages of Specification, 12 pages of Claims,

1 page of Abstract; Declaration/Power (3 pages); 2 Sheets of

Formal Drawings (Figs. 1-2); Claim to Priority (1 page) with Certified Copy of

Japanese Application No. P2000-260088; Assignment (3 pages) with cover sheet (1

page); Check no. 13737 in the amount of \$40.00;

and this postcard.

Our reference:

B-4293 619053-6

Date mailed:

August 29, 2001

Express Mail No.:

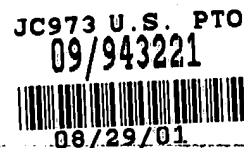
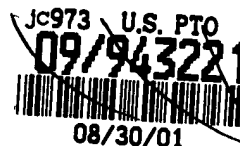
EL896634976US

STAMP

IN CONNECTION WITH:

**Takashi NOZAKI**

FOR: "COMMODITY ORDER SYSTEM AND  
COMMODITY ORDER METHOD IN COMMODITY  
ORDER SYSTEM"



COPY OF PAPERS  
ORIGINALLY FILED



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/943,221	08/30/2001 8/29/01	2162	764	B-4293 619053-6	2	23	2

CONFIRMATION NO. 8881

## FILING RECEIPT



\*OC000000006843794\*

COPY OF PAPERS  
ORIGINALLY FILED

LADAS & PARRY  
Suite 2100  
5670 Wilshire Boulevard  
Los Angeles, CA 90036-5679



Date Mailed: 10/04/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Takashi Nozaki, Tokyo-to, JAPAN;

## Assignment For Published Patent Application

PIONEER CORPORATION;  
INCREMENT P CORPORATION;

## Domestic Priority data as claimed by applicant

## Foreign Applications

JAPAN P2000-260088 08/30/2000

If Required, Foreign Filing License Granted 10/03/2001

Projected Publication Date: 02/28/2002

Non-Publication Request: No

Early Publication Request: No

## Title

Commodity order system and commodity order method in commodity order system

**Preliminary Class**

705

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Takashi NOZAKI )  
Serial No.: 09/943,221 ) Group: 2162  
Filing Date: August 29, 2001 ) Examiner: not yet assigned  
(as amended) )  
For: "COMMODITY ORDER SYSTEM AND ) Our ref.: B-4293 619053-6  
COMMODITY ORDER METHOD IN..." ) Date: June 12, 2002

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Sir:


COPY OF PAPERS  
ORIGINALLY FILED

VERIFICATION

I am the person who mailed the above-identified application pursuant to 37 CFR. 1.10 on August 29, 2001; and I verify that the subject application with all of the items required under 35 U.S.C. 371 were deposited with the United States Postal Service in an Express Mail envelope with sufficient postage for Express Mailing on August 29, 2001.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: June 12, 2002

  
Karyn Lao

Manager, Customer Services  
BICENTENNIAL STATION

 **UNITED STATES  
POSTAL SERVICE**

October 1, 2001

Commissioner of Patents  
& Trademarks  
Box New Patent Applications  
Washington D.C. 20231

**COPY OF PAPERS  
ORIGINALLY FILED**

To whom it may concern

On August 29, 2001, we, the U.S. Postal Service picked up Express Mail item #EL896634976US from our customer, Ladas & Parry. Regrettably, we mishandled this item and it entered our mailstream on August 30, 2001, a complete day later. Clearly the U.S. Postal Service is responsible for this unfortunate incident, not the sender.

Please accept this letter and copy of the Pickup Service Statement, PS Form 5541, as irrefutable documentation that our customer mailed this item on August 29, 2001.

**Sincerely**

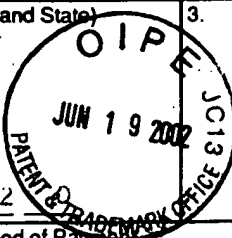


Phil Cascio  
Manager, Customer Services  
Bicentennial Station  
323 933-5953

7610 BEVERLY BOULEVARD  
LOS ANGELES, CA 90048-9998  
(323) 933-5953  
FAX: (323) 934-4961

**Pickup Service Statement for  
Express Mail, Priority Mail, or Parcel Post**

2. Customer Name and Address (Name, Street, Suite No., City, and State)

LADAS & PARRY  
5670 WILSHIRE BLVD STE 2100  
LOS ANGELES CA 90036-5620

3.

Express Mail

Quantity

Priority Mail

Quantity

Parcel Post

Quantity

ZIP + 4

9 0 0 3 6 - 5 6 2

4. Custom Design Agreement

CDA No.

5. Method of Payment

☐ Corporate Account

No.

☐ Federal Agency Account

No.

☐ Meter Strip or Stamps  
(Apply fee in Item 1 above)**6. Express Mail Label Numbers**

Item No.	Express Mail Label Number	Item No.	Express Mail Label Number	Item No.	Express Mail Label Number
1	EL 915 70014605	6		11	
2	EL 89663497605V	7		12	
3	EL 915 776995-11	8		13	
4	EL 86019856805	9		14	
5		10		15	

7. Customer Signature

8a. USPS Signature

8b. Date of Pickup

8c. Time of Pickup

PS Form 5541-C, January 2001

3 - Customer Copy

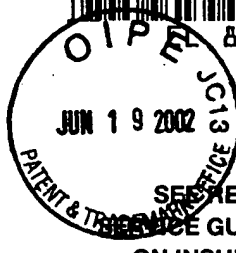
COPY OF PAPERS  
ORIGINALLY FILED



UNITED STATES POSTAL SERVICE®

**POST OFFICE  
TO ADDRESSEE**

896634976 US

**SEE REVERSE SIDE FOR  
SERVICE GUARANTEE AND LIMITS  
ON INSURANCE COVERAGE****Customer Copy**  
Label 11-F August 2000**ORIGIN (POSTAL USE ONLY)**

PO ZIP Code <b>90080</b>	Day of Delivery <input type="checkbox"/> Next <input checked="" type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>
Date In <b>8-30-01</b>	<input type="checkbox"/> 12 Noon <input checked="" type="checkbox"/> 3 PM	Postage <b>\$ 16.25</b>
Time In <b>0015</b>	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee
Weight <b>1.5</b> lbs.	Int'l Alpha Country Code	COD Fee Insurance Fee
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials <b>AK</b>	Total Postage & Fees <b>\$ 16.25</b>

☐ **WAIVER OF SIGNATURE** (Domestic Only): Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery.NO DELIVERY ☐ Weekend ☐ Holiday ☐ Customer Signature**CUSTOMER USE ONLY****METHOD OF PAYMENT:**

Express Mail Corporate Acct. No.

Federal Agency Acct. No. or  
Postal Service Acct. No.

**FROM: (PLEASE PRINT)** PHONE ( **323** ) **934 2300**

**LACAS & PARRY**  
**5670 WILSHIRE BLVD STE 2100**  
**LOS ANGELES CA 90036-5679**

**B-4293 619053-6**

**TO: (PLEASE PRINT)** PHONE ( )

**COMMISSIONER OF PATENTS**  
**& TRADEMARKS**  
**BOX NEW PATENT APPLICATION**  
**WASHINGTON DC 20231-**

**FOR PICKUP OR TRACKING CALL 1-800-222-1811****www.usps.com****COPY OF PAPERS  
ORIGINALLY FILED**

EL896634976

Express Mail Number: EL896634976US

Docket No. B-4293 619053-6

Date: August 29, 2001

Commissioner of Patents and Trademarks  
Box New Patent Application  
Washington, D.C. 20231

**COPY OF PAPERS  
ORIGINALLY FILED**

Sir



NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Takashi NOZAKI

NOTE: Patent must be applied for in the name of all  
of the actual inventor or inventors.

For: "COMMODITY ORDER SYSTEM AND COMMODITY ORDER  
METHOD IN COMMODITY ORDER SYSTEM"

Enclosed are:

1. The Papers Required For Filing Date Under 37 CFR 1.53(b):

31 Pages of specification 1 Page of abstract 12 Pages of claims

2 Sheets of drawings [X] formal [ ] informal  
(Figs. 1-2)

[X] In addition to the above papers there is also attached

Postcard

Check for filing fee in the amount of \$764.00

Declaration/Power of Attorney (3 pages)

Claim to Priority (1 page) with Certified Copy of Japanese

Application No. P2000-260088

Assignment Cover Sheet (1 page), Assignment document (3 pages),  
and Check for \$40.00

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this paper and the documents referred to as enclosed  
herein are being deposited with the United States Postal Service in an Express  
Mail envelope with sufficient postage for Express Mailing on this date August 29,  
2001 in an envelope as "Express Mail Post Office to Addressee" Mailing Label  
Number EL896634976US addressed to the:

Commissioner of Patents and Trademarks  
Box New Patent Application  
Washington, D.C. 20231

Karyn Lao

(Typed or printed name of person mailing paper)

(Signature of person mailing paper)

NOTE: Each paper or fee referred to as enclosed herein  
has the number of the "Express Mail" mailing label  
placed thereon prior to mailing. 37 CFR 1.10(b).

2. Declaration or oath

☒ Enclosed

☒ original ☐ facsimile

executed by:

☒ inventor(s)

☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43

☐ joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached. 37 CFR 1.47.

☐ petition and statement required by 37 CFR 1.47 also attached. See item 7 below for fee.

☐ Not Enclosed

☐ Application is made by a person authorized under 37 CFR 1.41(c) on behalf of all of the above named inventor(s). The declaration or oath, along with the surcharge required by 37 CFR 1.16(e) can be filed subsequently.

☐ Showing that the filing is authorized. (Not required unless called into question. 37 CFR 1.41(d)).

NOTE: Where the filing is a completion in the U.S. of an international application under 35 U.S.C. 371(c)(4) then the declaration must be filed.

3. Assignment

☒ An assignment of the invention to

(1) PIONEER CORPORATION and (2) INCREMENT P CORPORATION

(with separate cover sheet and separate check for \$40.00)

4. Certified Copy

☒ Certified copy of Japanese Application No. P2000-260088 from which priority is claimed.

NOTE: Must be referred to in oath or declaration. 37 CFR 1.55 and 163.

5. Fee Calculation

CLAIMS		AS FILED		
Number Filed		Number Extra	Rate	Basic Fee \$ 710.00
Total Claims	23 -20=	3 x	\$ 18.00	54.00
Independent Claims	2 -3=	0 x	\$ 80.00	0
Multiple Dependent Claim(s), If Any		0 x	\$ 270.00	0

☐ Amendment canceling extra claims enclosed

☐ Amendment deleting multiple dependencies enclosed

☐ Fee for extra claims is not being paid at this time

NOTE: If the fee for extra claims are not paid on filing they must be paid or the claims canceled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency, 37 CFR 1.16(d).

Filing Fee Calculation \$ 764.00

6. Small Entity Statement

- ☐ Verified statement that this is a filing by a small entity under 37 CFR 1.9 and 1.27.

Filing Fee Calculation (50% of above) \$ \_\_\_\_\_

NOTE: If a verified statement is filed within 2 months of the date of payment of first fee then the excess fee paid will be refunded on request. Notice of January 20, 1983. 1027 TMOG 114.

7. Fee Payment Being Made At This Time

- ☐ Not Enclosed

- ☐ No filing fee is submitted. This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.

NOTE: Where the filing is a completion in the U.S. of an international application the fee must be paid.

- ☒ Enclosed

☒ filing fee \$ 764.00

☐ recording assignment (\$40.00; 37 CFR 1.21(h)(i)) \$ \_\_\_\_\_

☐ petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached. 37 CFR 1.47 and 1.17 (h) \$ \_\_\_\_\_

Total fees enclosed \$ 764.00

8. Method of Payment of Fees

- ☒ check in the amount of \$ 764.00

- ☐ charge account No. 12-0415 in the amount of \$ \_\_\_\_\_  
A duplicate of this transmittal is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

9. Authorization to Charge Additional fees

- ☒ The Commissioner is hereby authorized to charge the following additional fees which may be required to Account No. 12-0415:

☒ 37 CFR 1.16 (filing fees and presentation of extra claims)

☒ 37 CFR 1.17 (application processing fees)

☐ 37 CFR 1.18 (issue fee at or before Mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b))

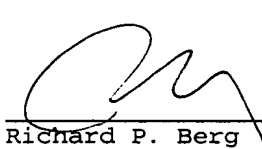
NOTE: 37 CFR 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application...prior to paying... issue fee".

10. Instructions As To Overpayment

- ☒ Credit Account No. 12-0415 ☐ refund

c/o LADAS & PARRY  
5670 Wilshire Boulevard  
Suite 2100  
Los Angeles, California 90036-5679

Telephone: (323) 934-2300  
Telefax: (323) 934-0202

  
Richard P. Berg  
Attorney  
Reg. No. 28,145